



Filing ID #10025964

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Alan S. Lowenthal  
**Status:** Member  
**State/District:** CA47

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2018  
**Filing Date:** 05/14/2019

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Allianz 403(b) ⇒ AZL Russell 1000 Growth Idx C2 [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ AZL Russell 1000 Value Index C2 [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ AZL S&P 500 Index Fund [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ AZL Small Cap Stock Index [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ Franklin Rising Dividends Sec [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Allianz 403(b) ⇒ PIMCO EqS Pathfinder [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
American General 403(b) ⇒ Fixed Annuity [FN]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
CA Resources Long Beach, Inc., 50% Interest [OT]	JT	Undetermined	Oil Well Payments	\$2,501 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
				\$5,000	
DESCRIPTION: Name Changed: Formerly Oxy Long Beach, CA This is the mineral rights on the Congressman's primary residence in Long Beach, CA. This is a 50% share with the Congressman's former spouse.					
JP Morgan Chase - Individual ⇒ International Business Machines Corporation (IBM) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
JP Morgan Chase - Individual ⇒ Trans Century Limited (TCL:KN [PS]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This is a stock traded on the Kenyan Stock Exchange.					
JP Morgan Chase - Individual ⇒ Walt Disney Company (DIS) [ST]	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>
Long Beach Schools Federal Credit Union [BA]		\$100,001 - \$250,000	None		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Apple Inc. (AAPL) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Ares Capital Corporation - Closed End Fund (ARCC) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Beneficiary IRA ⇒ Berkshire Hathaway Inc. (BRK.A) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: Was under \$1K					
Neuberger Berman - Beneficiary IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Celgene Corporation (CELG) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Cheniere Energy, Inc. (LNG) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Crown Castle International Corp. (CCI) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ CVS Health Corp Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 03/09/20; Percentage Yield: 3.125%					
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: Was under \$1k					
Neuberger Berman - Beneficiary IRA ⇒ DowDuPont Inc. (DWDP) [ST]	SP	None	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ DREYUS TREASURY SEC MGMT ADMIN [BA]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Expedia Group, Inc. (EXPE) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Fitbit, Inc. Class A (FIT) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ General Dynamics Corporation (GD) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ HCA Inc Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 02/15/20; Percentage Yield: 6.5%					
Neuberger Berman - Beneficiary IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: Was under \$1k					
Neuberger Berman - Beneficiary IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ iShares Inc Core MSCI Emerging Mkts ETF [EF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Beneficiary IRA ⇒ Kansas City Southern (KSU) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Keurig Dr Pepper Inc. (KDP) [ST]	SP	None	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Bought and completely sold in 2018					
Neuberger Berman - Beneficiary IRA ⇒ Level 3 Fing inc Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 01/15/21; Percentage Yield: 6.125%					
Neuberger Berman - Beneficiary IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Merck & Company, Inc. Common Stock (MRK) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Novartis AG (NVS) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Orexigen Therapeutics, Inc. (OREX) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ OUTFRONT Media Inc. (OUT) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Phillips 66 (PSX) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Royal Dutch Shell PLC Royal Dutch Shell PLC American Depositary Shares (RDS.B) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Service Corporation International (SCI) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Siemens AG American Depositary Shares (SIEGY) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Starbucks Corporation (SBUX) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: Was under \$1k					
Neuberger Berman - Beneficiary IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
DESCRIPTION: Was under \$1k					
Neuberger Berman - Beneficiary IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					
Neuberger Berman - Beneficiary IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: This asset was inherited in 2017.					

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
Neuberger Berman - Beneficiary IRA ⇒ Zimmer Biomet Hldgs Inc Note [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 07/20/20; Percentage Yield: 2.8%					
Neuberger Berman - Individual ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Blackstone Mortgage Trust, Inc. (BXMT) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Cigna Corporation (CI) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Crown Castle International Corp. (CCI) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ DREYFUS TREASURY SEC CASH MGMT ADMIN [BA]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Easterly Government Properties, Inc. (DEA) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ IHS Inc. IHS Inc. Class A (IHS) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ iShares Inc Core MSCI Emerging Mkts ETF [EF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ Novartis AG (NVS) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Sempra Energy (SRE) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ SPDR S&P 500 EFT TRUST UNIT SER 1 S&P [EF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Individual ⇒ STARWOOD PROPERTY TRUST, INC. Starwood Property Trust Inc. (STWD) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Individual ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Zoetis Inc. Class A (ZTS) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: This is an asset that the Congressman's spouse inherited in 2018.					
Neuberger Berman - Municipal Bonds ⇒ Actavis Funding [CS]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation: 3/12/18; Yield: 2.35% Over-reported bond maturation No PTR needed, so PTR deleted.					
Neuberger Berman - Municipal Bonds ⇒ American Express Co Note [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 08/03/23; Percentage Yield: 3.7%					
Neuberger Berman - Municipal Bonds ⇒ Ares Cap Corp Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Maturation Date: 01/15/20; Percentage Yield: 3.875%					
Neuberger Berman - Municipal Bonds ⇒ AT&T Inc Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 02/17/21; Percentage Yield: 2.8%					
Neuberger Berman - Municipal Bonds ⇒ Ball Corp Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 12/15/20; Percentage Yield: 4.375%					
Neuberger Berman - Municipal Bonds ⇒ Bank Amer Corp Bond [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 06/17/19; Percentage Yield: 5.125%					
Neuberger Berman - Municipal Bonds ⇒ Citigroup Inc Note [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 06/7/19; Percentage Yield: 2.05%					
Neuberger Berman - Municipal Bonds ⇒ CRS Outdoor Amers Cap LLC [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 02/15/22; Percentage Yield: 5.25%					
Neuberger Berman - Municipal Bonds ⇒ DREYFUS TREASURY SEC CASH MGMT ADMIN [BA]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Municipal Bonds ⇒ FIDELITY NATL INFORMATION SVCS [CS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 6/5/24; Percentage Yield: 3.875%					
Neuberger Berman - Municipal Bonds ⇒ Interpublic Group Cos Inc Note [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 10/01/20; Percentage Yield: 3.5%					
Neuberger Berman - Municipal Bonds ⇒ Newell Brands, Inc. [CS]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: Maturation: 4/1/21; Yield: 3.15% Tendered on 12/26/18					
Neuberger Berman - Municipal Bonds ⇒ Nielsen Fin LLC/Nielsen Fin [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 10/01/20; Percentage Yield: 4.5%					
Neuberger Berman - Municipal Bonds ⇒ Priceline Grp Inc Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 03/15/23; Percentage Yield: 2.75%					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Municipal Bonds ⇒ VERIZON COMMUNICATIONS INC [CS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 3/16/22; Percentage Yield: 3.125%					
Neuberger Berman - Municipal Bonds ⇒ WELLS FARGO CO MTN BE [CS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Maturation Date: 1/30/20; Percentage Yield: 2.15%					
Neuberger Berman - Roth IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS [BA]	SP	\$1 - \$1,000	None		<input type="checkbox"/>
Neuberger Berman - Roth IRA ⇒ SPDR S&P 500 ETF TRUST UNIT SER 1 S&P [EF]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ American Express Co Note [CS]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 03/27/23; Percentage Yield: 3.7%					
Neuberger Berman - Traditional IRA ⇒ American Tower Corporation (AMT) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Apple Inc. (AAPL) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Aptiv PLC Ordinary Shares (APTV) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: On May 3, 2017, Delphi Automotive split into two entities, Delphi Technologies and Aptiv PLC. This is the portion of the previous Delphi Automotive stock that was rolled into Aptiv.					
Neuberger Berman - Traditional IRA ⇒	SP	\$15,001 - \$50,000	Interest	\$201 -	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Ares Cap Corp Note Call Make Whole [CS]				\$1,000	
DESCRIPTION: Maturation Date: 01/15/20; Percentage Yield: 3.875%					
Neuberger Berman - Traditional IRA ⇒ AT&T INC NOTE CALL MAKE WHOLE [CS]	SP	None	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 2/14/23; Percentage Yield: 2.85% Called early on 4/23/18					
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ball Corp Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 12/15/20; Percentage Yield: 4.375%					
Neuberger Berman - Traditional IRA ⇒ Bank of America Corp [CS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 6/17/2019 ; Percentage Yield: 5.125%					
Neuberger Berman - Traditional IRA ⇒ Berkshire Hathaway Inc. (BRK.A) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	\$15,001 - \$50,000	Dividends, Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Celgene Corp Note Call Make Whole [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 02/19/21; Percentage Yield: 2.875%					
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	\$15,001 - \$50,000	Interest	\$201 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
CIT Group Inc Note Call Make Whole [CS]				\$1,000	
DESCRIPTION: Maturation Date: 08/01/23; Percentage Yield: 5%					
Neuberger Berman - Traditional IRA ⇒ CIT GROUP NOTE CALL MAKE WHOLE [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 7/29/19; Percentage Yield: 2.5%					
Neuberger Berman - Traditional IRA ⇒ Constellation Brands Inc Note [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 11/17/19; Percentage Yield: 2%					
Neuberger Berman - Traditional IRA ⇒ Crown Castle International [CS]	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 4/15/22; Percentage Yield: 4.875%					
Neuberger Berman - Traditional IRA ⇒ CVS Health Corp Note Call Make Whole [CS]	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 07/20/20; Percentage Yield: 2.8%					
Neuberger Berman - Traditional IRA ⇒ Delphi Technologies PLC Ordinary Shares (DLPH) [ST]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: On May 3, 2017, Delphi Automotive split into two entities, Delphi Technologies and Aptiv PLC. This is the portion of the previous Delphi Automotive stock that was rolled into Delphi Technologies.					
Neuberger Berman - Traditional IRA ⇒ Dover Corporation (DOV) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DowDuPont Inc. (DWDP) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Dreyfus Treas. Prime Cash Management INV & SHS [BA]	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Fidelity Natl Information Svcs [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 08/15/21; Percentage Yield: 2.25%					
Neuberger Berman - Traditional IRA ⇒ General Dynamics Corporation (GD) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ HCA, Inc. [CS] DESCRIPTION: Maturation: 2/15/20 Yield: 6.5%	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Intercontinental Exchange Inc. (ICE) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IRON MTN INC NOTE CALL MAKE WHOLE [CS] DESCRIPTION: Maturation Date: 8/15/23; Percentage Yield: 6%	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ iShares Inc Core MSCI Emerging Mkts ETF [EF]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Johnson & Johnson (JNJ) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Keurig Dr Pepper Inc. (KDP) [ST] DESCRIPTION: Bought and completely sold in 2018.	SP	None	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Lennar Corp Note Call Make Whole [BA] DESCRIPTION: Maturation Date: 04/01/21; Percentage Yield: 4.75%	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Level 3 Fing Inc. [CS] DESCRIPTION: Maturation Date: 1/15/2021 ; Percentage Yield: 6.125%	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Limited Brands, Inc. [CS] DESCRIPTION: Maturation: 4/1/21; Yield: 6.625%	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Martin Marietta Materials, Inc. (MLM) [ST]	SP	None	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Newell Brands, Inc. [CS]	SP	None	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 4/1/21 Yield: 3.15 *Called early on 12/26/18*					
Neuberger Berman - Traditional IRA ⇒ Nielsen Fin LLC [CS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Maturation Date: 10/1/2020 ; Percentage Yield: 4.5%					
Neuberger Berman - Traditional IRA ⇒ Novartis AG (NVS) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	None	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Qiagen N.V. Common Shares (QGEN) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Regal Entmt Group [CS]	SP	\$15,001 - \$50,000	Interest	None	<input type="checkbox"/>
DESCRIPTION: Maturation: 3/15/22 Yield: 5.75% Call of bond on 3/30/18					
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Service Corporation International (SCI) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Inc Note [CS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Maturation Date: 07/15/20; Percentage Yield: 2.7%					
Neuberger Berman - Traditional IRA ⇒	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
UnitedHealth Group Incorporated Common Stock (UNH) [ST]					
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verisk Analytics Inc. - Corporate Bond [CS] DESCRIPTION: Maturation Date: 1/15/2019; Percentage Yield 4.875%	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verizon Communications Inc. [CS] DESCRIPTION: Maturation Date: 11/01/21; Percentage Yield: 3%	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Wells Fargo CO [CS] DESCRIPTION: Maturation: 2/13/23; Yield: 3.45%	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	None	None		<input checked="" type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zimmer Biomet Hldgs Inc. Note [CS] DESCRIPTION: Maturation Date: 03/19/21; Percentage Yield: 3.55363%	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Savings Plus California State Employee 401(K) ⇒ Bond Fund [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 401(K) ⇒ Large Cap Fund [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 457 ⇒ Bond Fund [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Savings Plus California State Employee 457 ⇒ Large Cap Fund [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

\* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

## SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	10/24/2018	P	\$207.94	
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	07/19/2018	S (partial)	\$464.74	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	07/20/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	12/3/2018	P	\$826.80	
Neuberger Berman - Beneficiary IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	12/4/2018	P	\$658.03	
Neuberger Berman - Beneficiary IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	06/5/2018	P	\$601.50	
Neuberger Berman - Beneficiary IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	08/10/2018	S (partial)	\$94.67	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	08/13/2018	S (partial)	\$285.74	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	08/14/2018	S	\$190.35	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Apergy Corporation (APY) [ST]	SP	05/14/2018	S	\$155.99	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Apergy Corporation (APY) [ST]	SP	05/8/2018	P	\$154.00	
Neuberger Berman - Beneficiary IRA ⇒ Apple Inc. (AAPL) [ST]	SP	01/2/2018	S (partial)	\$512.23	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Aptiv PLC Ordinary Shares (APTIV) [ST]	SP	01/5/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Aptiv PLC Ordinary Shares (APTIV) [ST]	SP	10/29/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒	SP	01/8/2018	S	\$111.52	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Autodesk, Inc. (ADSK) [ST]			(partial)		
Neuberger Berman - Beneficiary IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/27/2018	S (partial)	\$309.77	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/27/2018	S (partial)	\$309.77	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	05/29/2018	P	\$903.36	
Neuberger Berman - Beneficiary IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	01/2/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Boston Scientific Corporation (BSX) [ST]	SP	01/22/2018	P	\$962.57	
Neuberger Berman - Beneficiary IRA ⇒ Celgene Corporation (CELG) [ST]	SP	01/8/2018	S	\$838.78	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	04/25/2018	S (partial)	\$299.14	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Cheniere Energy, Inc. (LNG) [ST]	SP	01/5/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	03/29/2018	S (partial)	\$41.89	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	03/29/2018	S (partial)	\$360.40	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Crown Castle International Corp. (CCI) [ST]	SP	04/30/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ CVS Health Corp [CS]	SP	03/6/2018	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 3/9/2020, interest rate is 3.12%					
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	05/8/2018	P	\$745.79	
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	08/29/2018	P	\$346.92	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	12/26/2018	S (partial)	\$67.61	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Dover Corporation (DOV) [ST]	SP	12/26/2018	S (partial)	\$202.85	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ DowDuPont Inc. (DWDP) [ST]	SP	10/23/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Dr Pepper Snapple Group, Inc Dr Pepper Snapple Group, Inc (DPS) [ST]	SP	01/29/2018	P	\$1,001 - \$15,000	
DESCRIPTION: On 7/11/18, a merger between Keurig Green Mountain and Dr Pepper Snapple Group was completed. This was a full sell of the new, merged stock KDP. It was purchased on 1/29/18 as Dr. Pepper Snapple Group. th					
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	03/15/2018	P	\$985.93	
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	04/26/2018	P	\$231.65	
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	07/30/2018	P	\$251.04	
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	07/31/2018	P	\$126.40	
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/11/2018	S (partial)	\$120.44	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/11/2018	S (partial)	\$120.43	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/12/2018	S (partial)	\$241.50	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/12/2018	S (partial)	\$120.74	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	11/20/2018	S	\$805.35	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒	SP	01/8/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Expedia, Inc. (EXPE) [ST]					
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	05/29/2018	P	\$371.70	
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	07/26/2018	P	\$524.78	
Neuberger Berman - Beneficiary IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	12/20/2018	S	\$659.69	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Fitbit, Inc. Class A (FIT) [ST]	SP	01/5/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Gates Industrial Corporation plc Ordinary Shares (GTES) [ST]	SP	01/30/2018	P	\$781.64	
Neuberger Berman - Beneficiary IRA ⇒ Gates Industrial Corporation plc Ordinary Shares (GTES) [ST]	SP	05/15/2018	S	\$615.75	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ General Dynamics Corporation (GD) [ST]	SP	05/4/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ HCA Inc [CS]	SP	08/29/2018	P	\$1,001 - \$15,000	
DESCRIPTION: Interest rate is 6.5%, Maturity date is 2/15/2020.					
Neuberger Berman - Beneficiary IRA ⇒ Home Depot, Inc. (HD) [ST]	SP	12/31/2018	P	\$686.21	
DESCRIPTION: Note: This transaction/purchase took place on 12/31/18, but the "settlement date" was not until 1/3/19. That is why it was not reported on Schedule A.					
Neuberger Berman - Beneficiary IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	06/20/2018	P	\$616.20	
Neuberger Berman - Beneficiary IRA ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	12/3/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Kansas City Southern (KSU) [ST]	SP	01/24/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒	SP	07/23/2018	S	\$333.37	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Kansas City Southern (KSU) [ST]			(partial)		
Neuberger Berman - Beneficiary IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/24/2018	S	\$333.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/25/2018	S (partial)	\$333.37	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/24/2018	S	\$333.01	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Keurig Dr Pepper Inc. (KDP) [ST]	SP	07/11/2018	S	\$240.15	<input checked="" type="checkbox"/>
DESCRIPTION: On 7/11/18, a merger between Keurig Green Mountain and Dr Pepper Snapple Group was completed. This was a full sell of the new, merged stock KDP. It was purchased on 1/29/18 as Dr. Pepper Snapple Group. th					
Neuberger Berman - Beneficiary IRA ⇒ Level 3 Fing Inc [CS]	SP	01/19/2018	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 1/15/2021, interest rate is 6.125%					
Neuberger Berman - Beneficiary IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	01/2/2018	S (partial)	\$152.12	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Merck & Company, Inc. Common Stock (MRK) [ST]	SP	01/8/2018	S	\$567.58	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	03/29/2018	S (partial)	\$360.40	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Novartis AG (NVS) [ST]	SP	11/29/2018	P	\$816.61	
Neuberger Berman - Beneficiary IRA ⇒ Novartis AG (NVS) [ST]	SP	11/30/2018	P	\$363.90	
Neuberger Berman - Beneficiary IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	01/30/2018	S (partial)	\$766.25	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	03/1/2018	S	\$746.43	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Orexigen Therapeutics, Inc. (OREX) [ST]	SP	01/5/2018	S	\$11.99	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ OUTFRONT Media Inc. (OUT) [ST]	SP	03/20/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Phillips 66 (PSX) [ST]	SP	01/5/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	07/20/2018	P	\$592.08	
Neuberger Berman - Beneficiary IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	08/29/2018	P	\$444.60	
Neuberger Berman - Beneficiary IRA ⇒ Royal Dutch Shell PLC Royal Dutch Shell PLC American Depository Shares (RDS.B) [ST]	SP	01/5/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	04/27/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]  DESCRIPTION: I also bought some on 4/27/18.	SP	04/30/2018	P	\$112.15	
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	10/25/2018	P	\$230.01	
Neuberger Berman - Beneficiary IRA ⇒ Sempra Energy (SRE) [ST]	SP	10/24/2018	P	\$348.79	
Neuberger Berman - Beneficiary IRA ⇒ Siemens AG American Depository Shares (SIEGY) [ST]	SP	03/19/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Starbucks Corporation (SBUX) [ST]	SP	01/8/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	08/20/2018	P	\$405.84	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	12/21/2018	P	\$149.68	
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	12/24/2018	P	\$72.80	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Beneficiary IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	12/26/2018	P	\$21.32	
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	05/30/2018	P	\$399.36	
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	11/2/2018	P	\$201.76	
Neuberger Berman - Beneficiary IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	12/6/2018	S (partial)	\$195.09	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	06/4/2018	S	\$554.93	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	07/23/2018	S	\$589.10	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	07/23/2018	S	\$589.10	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	12/20/2018	S	\$715.45	<input type="checkbox"/>
Neuberger Berman - Beneficiary IRA ⇒ Zimmer Biomet Hldgs inc [CS] DESCRIPTION: Maturity date is 3/19/2021, interest rate is 2.92%	SP	03/8/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	08/20/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	10/24/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	11/27/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ American Express [CS] DESCRIPTION: Maturity date is 8/3/2023, interest rate is 3.7%	SP	07/31/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Ares Cap Corp [CS] DESCRIPTION: Maturity date is 1/15/2020. Interest rate is 3.875%	SP	08/13/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Individual ⇒ Ball Corp [CS]  DESCRIPTION: Maturity date is 12/15/2020. Interest rate is 4.375%	SP	08/8/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Bank American Corp Bond [CS]  DESCRIPTION: Maturity date is 6/17/19, interest rate is 5.125%.	SP	08/8/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ BlackRock, Inc. (BLK) [ST]	SP	11/14/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	08/1/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	11/14/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ CBS Outdoor Amers [CS]  DESCRIPTION: Maturity date is 2/15/2022, interest rate is 5.25%.	SP	08/8/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Cigna Corporation (CI) [ST]	SP	12/14/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ DowDuPont Inc. (DWDP) [ST]	SP	09/27/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	11/12/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	11/12/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	11/14/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	12/3/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Nielsen Fin LLC [CS]  DESCRIPTION: Maturity date is 10/01/2020. Interest rate is 4.5%	SP	08/15/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Individual ⇒ Novartis AG (NVS) [ST]	SP	11/29/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Novartis AG (NVS) [ST]	SP	11/30/2018	P	\$909.75	
Neuberger Berman - Individual ⇒ Phillips 66 (PSX) [ST]	SP	07/30/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Individual ⇒ Priceline Group [CS]  DESCRIPTION: Maturity date is 3/15/2023, interest rate is 2.75%	SP	01/24/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Individual ⇒ Royal Dutch Shell PLC Royal Dutch Shell PLC American Depositary Shares (RDS.B) [ST]	SP	07/30/2018	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Neuberger Berman - Individual ⇒ Sempra Energy (SRE) [ST]	SP	10/24/2018	P	\$581.31	
Neuberger Berman - Individual ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	11/29/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Municipal Bonds ⇒ AT&T Inc [CS]  DESCRIPTION: Maturity date is 2/17/2021, interest rate is 2.8%. When a PTR was done for this bond purchase, it was inaccurately place in the Neuberger Berman - Individual asset class. this corrects that error, correctly placing in in the Neuberger Berman - Municipal Bond Account.	SP	08/19/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Municipal Bonds ⇒ Citigroup Inc [CS]  DESCRIPTION: Maturity date is 6/7/19, interest rate is 2.050%	SP	04/24/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Municipal Bonds ⇒ Interpublic Group [CS]  DESCRIPTION: Interest rate is 3.5%, maturity date is 10/01/2020.	SP	09/18/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Activision Blizzard, Inc (ATVI) [ST]	SP	10/24/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	07/19/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	07/20/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	12/3/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	12/4/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Air Products and Chemicals, Inc. (APD) [ST]	SP	12/4/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ American Express [CS] DESCRIPTION: Maturity date is 8/3/2023, interest rate is 3.7%	SP	07/31/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	08/10/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	08/13/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Analog Devices, Inc. (ADI) [ST]	SP	08/14/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Apergy Corporation (APY) [ST]	SP	05/14/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Apergy Corporation (APY) [ST]	SP	05/8/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Apple Inc. (AAPL) [ST]	SP	01/2/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Aptiv PLC Ordinary Shares (APTV) [ST]	SP	10/29/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ares Cap Corp Note [CS] DESCRIPTION: Maturity date is 1/15/2020, % interest rate is 2.983%.	SP	01/11/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	01/8/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	01/8/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/27/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/27/2018	S (partial)	\$774.44	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	08/27/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: This PTR mistakenly said that this was 'not a partial transaction.' It was a partial transaction and it was corrected here. th					
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	11/12/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Autodesk, Inc. (ADSK) [ST]	SP	11/12/2018	S (partial)	\$652.28	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Ball Corp [CS]	SP	08/8/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 12/15/2020, interest rate is 4.375%					
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	01/17/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	01/18/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	04/26/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ BioMarin Pharmaceutical Inc. (BMRN) [ST]	SP	04/27/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	01/2/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	11/7/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Brookfield Infrastructure Partners LP Limited Partnership Units (BIP) [ST]	SP	01/2/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Celgene Corp [CS]  DESCRIPTION: Maturity date 2/19/18, Interest rate is 2.875%	SP	02/9/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	01/8/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	01/8/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	01/8/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	04/25/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	03/29/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Citigroup Inc [CS]  DESCRIPTION: Maturity date is 7/29/2019, interest 2.5% This purchase is associated with the asset on Schedule A with a slightly different name. On Schedule A, it is listed as "CIT GROUP NOTE CALL MAKE WHOLE."	SP	01/25/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Constellation Brands [CS]  DESCRIPTION: Maturity date is 1/17/2019, interest rate is 2.0%	SP	03/16/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Constellation Brands Inc [CS]  DESCRIPTION: This was a "redeemed" transaction. Maturity date is 5/1/2022, interest rate is 6.0%	SP	02/28/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Constellation Brands Inc Note [CS]  DESCRIPTION: Maturity date is 5/01/2022, interest rate is 3.038%.	SP	01/12/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ CVS Health Corp Note [CS]  DESCRIPTION: Maturity date is 7/20/2020, interest rate is 2.8%.	SP	01/12/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Delphi Technologies PLC Ordinary Shares (DLPH) [ST]	SP	01/5/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	05/8/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Dover Corporation (DOV) [ST]					
Neuberger Berman - Traditional IRA ⇒ Dover Corporation (DOV) [ST]	SP	08/29/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Dover Corporation (DOV) [ST]	SP	12/26/2018	S (partial)	\$676.20	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Dover Corporation (DOV) [ST]	SP	12/26/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ DowDuPont Inc. (DWDP) [ST]	SP	10/23/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Dr Pepper Snapple Group, Inc Dr Pepper Snapple Group, Inc (DPS) [ST]	SP	01/29/2018	P	\$15,001 - \$50,000	
DESCRIPTION: On 7/11/18, a merger between Keurig Green Mountain and Dr Pepper Snapple Group was completed. This was a full sell of the new, merged stock KDP. It was purchased on 1/29/18 as Dr. Pepper Snapple Group. th					
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	02/27/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	02/28/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	03/9/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	04/26/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	07/30/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	07/31/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/11/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/11/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/12/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	10/12/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Equifax, Inc. (EFX) [ST]	SP	11/20/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Fidelity National Inform [CS] DESCRIPTION: Maturity date is 8/15/2021, interest rate is 2.25%	SP	01/23/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Gates Industrial Corporation plc Ordinary Shares (GTES) [ST]	SP	01/25/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Gates Industrial Corporation plc Ordinary Shares (GTES) [ST]	SP	05/15/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ General Dynamics Corporation (GD) [ST]	SP	05/4/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ HCA Incsr Secd [CS] DESCRIPTION: Maturity date is 2/15/2020, interest rate is 6.5%.	SP	01/17/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Home Depot, Inc. (HD) [ST] DESCRIPTION: Note: This transaction/purchase took place on 12/31/18, but the "settlement date" was not until 1/3/19. That is why it was not reported on Schedule A.	SP	12/31/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	11/12/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ IHS Markit Ltd. - Common Shares (INFO) [ST]	SP	11/13/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	12/3/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	01/24/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/23/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/24/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/23/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Kansas City Southern (KSU) [ST]	SP	07/24/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Keurig Dr Pepper Inc. (KDP) [ST]	SP	07/11/2018	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: On 7/11/18, a merger between Keurig Green Mountain and Dr Pepper Snapple Group was completed. This was a full sell of the new, merged stock KDP. It was purchased on 1/29/18 as Dr. Pepper Snapple Group. th					
Neuberger Berman - Traditional IRA ⇒ Lennar [CS]	SP	06/26/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Interest rate is 4.75%, maturity date is 4/1/21					
Neuberger Berman - Traditional IRA ⇒ Level 3 Fing [CS]	SP	03/14/2018	P	\$1,001 - \$15,000	
DESCRIPTION: Maturity date is 1/15/2021, interest rate is 6.125%					
Neuberger Berman - Traditional IRA ⇒ Martin Marietta Materials, Inc. (MLM) [ST]	SP	09/24/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Mastercard Incorporated (MA) [ST]	SP	01/2/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	03/29/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Novartis AG (NVS) [ST]	SP	11/29/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Novartis AG (NVS) [ST]	SP	11/30/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	01/30/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒	SP	01/30/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Oracle Corporation (ORCL) [ST]			(partial)		
Neuberger Berman - Traditional IRA ⇒ Oracle Corporation (ORCL) [ST]	SP	03/1/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	07/20/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Red Hat, Inc. (RHT) [ST]	SP	08/29/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	04/27/2018	P	\$15,001 - \$50,000	
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	04/30/2018	P	\$1,001 - \$15,000	
DESCRIPTION: I bought some of this stock on 4/27/18.					
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	10/24/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sempra Energy (SRE) [ST]	SP	10/25/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	08/20/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	12/21/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	12/24/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Sunrun Inc. (RUN) [ST]	SP	12/26/2018	P	\$532.97	
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Inc [CS]	SP	03/7/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 7/15/2020, interest rate is 2.7%					
Neuberger Berman - Traditional IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	01/2/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	05/14/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	05/15/2018	P	\$1,001 - \$15,000	
DESCRIPTION: I also purchased some of this stock on 5/14/18.					
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	11/2/2018	P	\$1,001 - \$15,000	
Neuberger Berman - Traditional IRA ⇒ Universal Display Corporation (OLED) [ST]	SP	12/6/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Verizon Communications [CS]	SP	05/3/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 11/1/2021, interest rate is 3.00%					
Neuberger Berman - Traditional IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	06/4/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	07/23/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ WEX Inc. common stock (WEX) [ST]	SP	07/23/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zayo Group Holdings, Inc. (ZAYO) [ST]	SP	12/20/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Neuberger Berman - Traditional IRA ⇒ Zimmer Biomet Hldgs Inc [CS]	SP	03/8/2018	P	\$15,001 - \$50,000	
DESCRIPTION: Maturity date is 3/19/2021, interest rate is 2.92%					

\* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

## SCHEDULE C: EARNED INCOME

Source	Type	Amount
California Public Employees Retirement System	University Pension	\$54,420.00
American General	Required Minimum Distribution 403(b)	\$941.00
Savings Plus 457 (AOH Hewitt BPS)	Required Minimum Distribution from 457 Account	\$3,417.00



Source	Type	Amount
Savings Plus 401(k) (AON Hewitt BPS)	Required Minimum Distribution from 401(k) Account	\$6,919.00
Allianz 403(b)	Required Minimum Distribution Allianz 403(b)	\$19,125.00

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Chase Mortgage	June 2005	Mortgage on 2809 East First Street Long Beach CA	\$250,001 - \$500,000

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
Aspen Institute	08/15/2018	08/19/2018	Los Angeles, CA - Vancouver, BC Canada - Los Angeles, CA	5	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

<ul style="list-style-type: none"> <li>◦ Allianz 403(b)</li> <li>◦ American General 403(b)</li> <li>◦ JP Morgan Chase - Individual (Owner: SP) LOCATION: US</li> <li>◦ Neuberger Berman - Beneficiary IRA (Owner: SP)</li> </ul>
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- Neuberger Berman - Individual (Owner: SP)  
LOCATION: US
- Neuberger Berman - Municipal Bonds (Owner: SP)  
LOCATION: US
- Neuberger Berman - Roth IRA (Owner: SP)
- Neuberger Berman - Traditional IRA (Owner: SP)
- Savings Plus California State Employee 401(K)
- Savings Plus California State Employee 457

## EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

**IPO:** Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

**Trusts:** Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

**Exemption:** Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

## CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

**Digitally Signed:** Hon. Alan S. Lowenthal , 05/14/2019